

## Element Performance Inspection (EPI) Data Collection Tool

### 1.3.23 Short–Term Escalations (AW)

#### ***ELEMENT SUMMARY INFORMATION***

**Purpose of This Element** (Certificate Holder's responsibility):

- To provide policy, procedures, instructions and/or information in the manual which allows personnel concerned with, the D076 Operation Specifications authorized Short Term Escalation process, to perform their duties and responsibilities to a high degree of safety.

**Objective** (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Short–Term Escalations process.
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Short–Term Escalations process.

**Specific Instructions:**

- Intentionally left blank.

**Related EPI(s):**

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.5 MEL / CDL / Deferred Maintenance (AW)
- 5.1.1 Line Stations (AW)

#### ***SUPPLEMENTAL INFORMATION***

**Specific Regulatory Requirement(s) (SRRs):**

- SRRs:  
119.43(b)

119.43(b)(1)  
119.43(b)(2)  
119.43(c)  
119.5(f)(2)  
121.135(a)(1)  
121.135(b)(1)  
121.135(b)(2)  
121.135(b)(3)  
D076  
D076(a)  
D076(b)  
D076(b)(1)  
D076(b)(2)  
D076(b)(3)  
D076(b)(4)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:  
Intentionally left blank
- FAA Policy/Guidance:  
FAA Order 8300.10 volume 2 Chapter 80

**EPI SECTION 1 – PERFORMANCE OBSERVABLES**

**Objective:** (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Short–Term Escalations.

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the policies, procedures, instructions and information for the Short–Term Escalation process contained in the Certificate Holder's manual.
- 3 Review the associated SAI for this element with emphasis on the controls, process measurements, and interface attribute sections.
- 4 Observe the Short–Term Escalation process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
- 5 Discuss the Short–Term Escalation process with personnel (other than management) who perform the duties and responsibilities required by the process.

**Questions**

To meet this objective, the inspector must answer the following questions:

- 1 Were the following Performance Measures met:
 

1.1 Did the Certificate Holder's Short–Term Escalations remain within their authorized limits?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2 Did the Certificate Holder comply with the Short–Term Escalation provisions of its Operations Specifications?  <i>Related performance JTIs:</i> <ul style="list-style-type: none"> <li>• Check at the Air Carrier Specified Location that short–term escalations used for an individual component, engine or aircraft did not conceal unsound maintenance practices, maintenance program deficiencies, or poor management decisions.</li> </ul> <i>Sources:</i> 8300.10 Volume 2 Chapter 80(CHG 12) Section 1 Paragraph 5A(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3 Did the Certificate Holder inform the FAA CHDO when Short–Term Escalations are utilized?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Short–Term Escalation process followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3 Were the Short–Term Escalation process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4 Did the records for the Short–Term Escalation process comply with the instructions provided in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5 Were the process measurements for the Short–Term Escalation process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6 Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b><i>EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu</i></b>
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.

## **EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES**

**Objective:** To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Short–Term Escalations is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

### **Tasks**

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person who has overall responsibility for the Short–Term Escalation process.

2 Identify the person who has overall authority for the Short–Term Escalation process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the appropriate organizational chart.

4 Review the duties and responsibilities for the person(s) who manage the Short–Term Escalation process documented in the Certificate Holder's manual.

5 Discuss the Short–Term Escalation process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

### **Questions**

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Certificate Holder's Short–Term Escalation process:

2.1 Is there a clearly identified person who is responsible for the quality of the Short–Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Short–Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Short–Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the Short–Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Short–Term Escalation process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.6 Does the person with authority to establish and modify the Short–Term Escalation process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Short-Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Short-Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Short-Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Short-Term Escalation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<b><i>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES –Drop Down Menu</i></b>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	